

Image Description: Administration for Community Living

**Administration for Community Living**

National Institute on Disability, Independent Living, and Rehabilitation Research

Disability and Rehabilitation Research Projects (DRRP) Program: Employment of Individuals with  
Disabilities (Development)

HHS-2016-ACL-NIDILRR-DP-0141

Application Due Date: 05/24/2016

Disability and Rehabilitation Research Projects (DRRP) Program: Employment of Individuals with  
Disabilities (Development)

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**Department of Health & Human Services  
Administration for Community Living**

**ACL Center:** National Institute on Disability, Independent Living, and Rehabilitation Research

**Funding Opportunity Title:** Disability and Rehabilitation Research Projects (DRRP) Program: Employment of Individuals with Disabilities (Development)

**Announcement Type:** Initial

**Funding Opportunity Number:** HHS-2016-ACL-NIDILRR-DP-0141

**Primary CFDA Number:** 93.433

**Due Date For Letter of Intent:** **04/29/2016**

**Due Date for Applications:** **05/24/2016**

**Date for Informational Conference** **04/15/2016**

**Call:**

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or, with <http://www.grants.gov>. Grants.gov can take up to 48 hours to notify you of a successful submission.

### **Executive Summary**

The purpose of NIDILRR's Disability and Rehabilitation Research Projects (DRRP), which are funded through the Disability and Rehabilitation Research Projects and Centers Program, is to plan and conduct research, demonstration projects, training, and related activities, including international activities, to develop methods, procedures, and rehabilitation technology that maximize the full inclusion and integration into society, employment, independent living, family support, and economic and social self-sufficiency of individuals with disabilities, especially individuals with the most severe disabilities, and to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended (Rehabilitation Act).

Under this particular DRRP priority, applicants must propose a development project that is aimed at improving the employment outcomes of individuals with disabilities. In carrying out a development project under this program, a grantee must use knowledge and understanding gained from research to create models, methods, tools, applications, and devices beneficial to the target population, including design and development of prototypes and processes.

Please note that this will be the Funding Opportunity for field-initiated DRRP development projects in the employment domain. NIDILRR plans to make two field-initiated DRRP awards in the employment domain. NIDILRR's field-initiated DRRP awards in the employment domain may include research projects, development projects, or both, depending on the ranking of applications provided by the peer review panel.

### **I. Funding Opportunity Description**

## **Background:**

From 2007 to 2009, an economic recession resulted in substantial employment declines for United States workers, and a subsequent recovery from 2010 to 2015 showed disparate gains for people with and without disabilities. The employment rate (or employment to population ratio) for individuals with disabilities declined by nearly 10 percent from 2008 to 2010, and this rate was more than double that for individuals without disabilities (Kaye, 2010). Since 2010, the employment trend for persons with disabilities has improved though not kept pace with that of persons without disabilities despite notable improvements in 2015. Thus by February, 2016, the employment rates for people with and without disabilities was 26 percent and 73 percent, respectively (Houtenville, 2016). Together, these trends suggest that people with disabilities may be among the “first fired and last hired” during challenging economic cycles (Trupin, Sebesta, Yelin & LaPlante, 1997; Kaye, 2010).

Federal and state employment policy initiatives aim to effectively improve employment outcomes for people with disabilities. The Workforce Innovation and Opportunity Act (WIOA), Employment First (U.S. Department of Labor, 2016), and the PROMISE initiatives (U.S. Department of Education, 2013) exemplify multi-faceted strategies that support state efforts to increase access to education, training, and support services needed to obtain and retain employment. Collaboration among federal, state, and local agencies and service providers is also a key feature. As a heterogeneous population with diverse strengths, needs and preferences, improving the employment outcomes of individuals with disabilities will also require a strong research base that demonstrates and supports effective policies and practices.

NIDILRR has funded a wide range of disability research and development projects in the area of employment. In accordance with NIDILRR’s Long Range Plan, NIDILRR seeks to build on this research by supporting innovative and well-designed research and development projects that focus on a specific stage or stages of research or development and that fall under one or more of NIDILRR’s general employment priority areas (these are described in this funding opportunity announcement).

## **References:**

Houtenville, A. (2016). Trends in Disability Employment – National Update. Retrieved March 8, 2016, from <http://researchondisability.org/nTIDE/nTIDE-LL-Presentation-030416.pptx>

Kaye, H.S. (2010). The impact of the 2007–09 recession on workers with disabilities. Monthly Labor Review, 133 (10), 19-30.

Trupin, L., Sebesta, D. S., Yelin, E., and LaPlante, M. P. (1997). Trends in labor force participation among persons with disabilities, 1983-1994 **Disability Statistics Report, 10**. Washington, DC: U.S. Department of Education, National Institute on Disability and Rehabilitation Research.

U.S. Department of Education (2013). PROMISE: Promoting Readiness of Minors in Supplemental Security Income. Retrieved March 8, 2016, from <http://www2.ed.gov/about/inits/ed/promise/index.html>

U.S. Department of Labor (2016). Employment First. Retrieved March 8, 2016, from <http://www.dol.gov/odep/topics/employmentfirst.htm>

## **Priority—DRRP on Employment of Individuals with Disabilities.**

The Administrator of the Administration for Community Living establishes a priority for Disability and Rehabilitation Research Projects (DRRP) on Employment of Individuals with Disabilities. The DRRPs must contribute to the outcome of maximizing employment outcomes of individuals with disabilities.

(1) To contribute to this outcome, the DRRP must--

(a) Conduct development activities in one or more of the following priority areas, focusing on individuals with disabilities as a group or on individuals in specific disability or demographic subpopulations of individuals with disabilities:

(i) Technology to improve employment outcomes for individuals with disabilities.

(ii) Individual and environmental factors associated with improved employment outcomes for individuals with disabilities.

(iii) Interventions that contribute to improved employment outcomes for individuals with disabilities. Interventions include any strategy, practice, program, policy, or tool that, when implemented as intended, contributes to improvements in outcomes for individuals with disabilities.

(iv) Effects of government policies and programs on employment outcomes for individuals with disabilities.

(v) Practices and policies that contribute to improved employment outcomes for transition-aged youth with disabilities.

(vi) Vocational rehabilitation (VR) practices that contribute to improved employment outcomes for individuals with disabilities;

(b) If conducting development activities under paragraph (1)(a) of this priority, focus its development on a specific stage of development. If the DRRP is to conduct development that can be categorized under more than one stage, those stages must be clearly specified. These stages--proof of concept, proof of product, and proof of adoption--are defined in this funding opportunity announcement;

(c) Conduct knowledge translation activities (i.e., training, technical assistance, utilization, dissemination) in order to facilitate stakeholder (e.g., individuals with disabilities, employers, policymakers, practitioners) use of the interventions, programs, technologies, or products that resulted from the research activities, development activities, or both, conducted under paragraph (1)(a) of this priority; and

(d) Involve key stakeholder groups in the activities conducted under paragraphs (1)(a) of this priority in order to maximize the relevance and usability of the research or development products to be developed under this priority.

#### **Definitions: Stages of Development:**

(a) Proof of concept means the stage of development where key technical challenges are resolved. Stage activities may include recruiting study participants; verifying product requirements; implementing and testing (typically in controlled contexts) key concepts, components, or systems; and resolving technical challenges. A technology transfer plan is typically developed and transfer partner(s) identified, and plan implementation may have started. Stage results establish that a product concept is feasible.

(b) Proof of product means the stage of development where a fully-integrated and working prototype meeting critical technical requirements is created. Stage activities may include recruiting study participants, implementing and iteratively refining the prototype, testing the prototype in natural or less-controlled contexts, and verifying that all technical requirements are met. A technology transfer plan is typically ongoing in collaboration with the transfer partner(s). Stage results establish that a product embodiment is realizable.

(c) Proof of adoption means the stage of development where a product is substantially adopted by its target population and used for its intended purpose. Stage activities typically include completing product refinements and continued implementation of the technology transfer plan in collaboration with the transfer partner(s). Other activities include measuring users' awareness of the product; opinion of the product; decisions to adopt, use, and retain products; and identifying barriers and facilitators impacting product adoption. Stage results establish that a product is beneficial.

#### **Statutory Authority**

29 U.S.C. 762(g) and 764(a)

## II. Award Information

Funding Instrument Type: Grant  
Estimated Total Funding: \$500,000  
Expected Number of Awards: 1  
Award Ceiling: \$500,000 Per Budget Period  
Award Floor: \$500,000 Per Budget Period  
Average Projected Award Amount: \$500,000 Per Budget Period  
60-month project with five 12-month budget periods

## III. Eligibility Information

### 1. Eligible Applicants

States; public or private agencies, including for-profit agencies; public or private organizations, including for-profit organizations; IHEs; and Indian tribes and tribal organizations.

### 2. Cost Sharing or Matching

Cost Sharing / Matching Requirement: Yes

Cost sharing is required by 34 CFR 350.62(a). NIDILRR requires that grantees provide cost sharing in the amount of at least 1% of Federal funds.

### 3. Responsiveness and Screening Criteria

#### Application Responsiveness Criteria

To be considered for review under this grant opportunity, applicants must propose a development project that is aimed at improving the development outcomes of individuals with disabilities. In carrying out a development project under this program, a grantee must identify one or more development aims and, based on the development aims identified, perform an intensive, systematic study directed toward producing (1) new or full scientific knowledge, or (2) understanding of the subject or problem studied.

#### Application Screening Criteria

We will screen all applications and will reject any applications that:

- Are submitted after the established deadline;
- Propose a budget that exceeds \$500,000 in any single budget year;
- Propose a project period that exceeds 60 months.

The Project Narrative section of the application must be double-spaced, on 8 1/2" X 11" pages with 1" margins on both sides, and a standard font size of not less than 11. The project narrative must not exceed 75 double-spaced pages. For project narratives that exceed 75 double-spaced pages, NIDILRR will instruct reviewers to disregard all of the content on the pages beyond the 75th page.

## IV. Application and Submission Information

### 1. Address to Request Application Package

Application materials can be obtained from <http://www.grants.gov> or [http://www.acl.gov/Funding\\_Opportunities/Announcements/Index.aspx](http://www.acl.gov/Funding_Opportunities/Announcements/Index.aspx).

Please note, ACL is requiring applications for all announcements to be submitted electronically through <http://www.grants.gov>. The Grants.gov (<http://www.grants.gov>) registration process can take several days. If your organization is not currently registered with <http://www.grants.gov>, please begin this process immediately. **For assistance with <http://www.grants.gov>, please contact them at [support@grants.gov](mailto:support@grants.gov) or 1-800-518-4726 between 7 a.m. and 9 p.m. Eastern Time.**

- At the <http://www.grants.gov> website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process through <http://www.grants.gov> because of the time involved to complete the registration process.
- All applicants must have a DUNS number (<http://fedgov.dnb.com/webform/>) and be registered with the System for Award Management (SAM, [www.sam.gov](http://www.sam.gov)) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Applicants should finalize a new, or renew an existing, registration at least two weeks before the application deadline. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award. Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline. See the SAM Quick Guide for Grantees at: [https://www.sam.gov/sam/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf).

Note: Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov before you can submit an application through Grants.gov. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award.

- **Note:** Failure to submit the correct suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive Federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) **or receive subawards directly from the recipients of those grant funds to:**

1. Be registered in SAM prior to submitting an application or plan;
2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
3. Provide its DUNS number in each application or plan to submit to the OPDIV.

Additionally, all first-tier subaward recipients must have a DUNS number at the time the subaward is made.

- Since October 1, 2003, The Office of Management and Budget has required applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. It is entered on the SF 424. It is a unique, **nine-digit identification number**, which provides unique identifiers of single business entities. The DUNS number is *free and easy* to obtain.
- Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by using this link to access a guide: [http://www.whitehouse.gov/sites/default/files/omb/grants/duns\\_num\\_guide.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/duns_num_guide.pdf).
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications.
- **Your application must comply with any page limitation requirements described in this Program Announcement.**
- After you electronically submit your application, you will receive an automatic acknowledgement

from <http://www.grants.gov> that contains <http://www.grants.gov> tracking number. The Administration for Community Living will retrieve your application form from <http://www.grants.gov>.

U.S. Department of Health and Human Services  
Administration for Community Living  
Marlene Spencer  
NIDILRR  
Phone Number: (202) 795-7442  
E-mail: [marlene.spencer@acl.hhs.gov](mailto:marlene.spencer@acl.hhs.gov)

## 2. Content and Form of Application Submission

### Letter of Intent

#### Letter of Intent

Due Date for Letter of Intent: **04/29/2016**

Due to the open nature of the DRRP priorities announced here and to assist with the selection of reviewers for this competition, NIDRR is requesting all potential applicants to submit a letter of intent (LOI). The submission is not mandatory and the content of the LOI will not be peer reviewed or otherwise used to rate an applicants application.

Each LOI should be limited to a maximum of four pages and include the following information: (1) the title of the proposed project, the name of the applicant, the name of the Project Director or Principal Investigator (PI), and the names of partner institutions and entities; (2) a brief statement of the vision, goals, and objectives of the proposed project and a description of its activities at a sufficient level of detail to allow NIDRR to select potential peer reviewers; (3) a list of proposed project staff including the Project Director or PI and key personnel; (4) a list of individuals whose selection as a peer reviewer might constitute a conflict of interest due to involvement in proposal development, selection as an advisory board member, co-PI relationships, etc.; and (5) contact information for the Project Director or PI. Submission of a LOI is not a prerequisite for eligibility to submit an application.

NIDILRR will accept the optional LOI via e-mail. The LOI must be sent to: Marlene Spencer at [marlene.spencer@acl.hhs.gov](mailto:marlene.spencer@acl.hhs.gov).

### Project Narrative

The project narrative portion of your application is where you describe your proposed project and address the general requirements for DRRPs and the review criteria. Each applicant must limit the project narrative to the equivalent of no more than 75 pages, using the following standards:

- A page is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double-space (no more than three lines per vertical inch) all text in the application narrative. You are not required to double space titles, headings, footnotes, references, and captions, or text in charts, tables, figures, and graphs. Use a font that is not less than size 11.
- Use one of the following fonts: Times New Roman, Courier, Courier New or Arial.
- Include all critical information in the project narrative, minimizing the need for additional appendices.

**NOTE:** The page limit does not apply to the Application for Federal Assistance (SF 424), the budget narrative, the forms, the one-page abstract, the resumes, the bibliography, or the letters of support. However, the recommended page limit does apply to all of the project narrative section.



For project narratives that exceed 75 double-spaced pages, NIDILRR will instruct reviewers to disregard all of the content on the pages beyond the 75th page.

Applicants should provide a Work Plan in their project narrative. The Work Plan should cover all five (5) years of the project period. The Work Plan should include a statement of the project's overall goal(s), anticipated outcome(s), and the major tasks that are proposed to achieve the goal and outcome(s). For each major task, the work plan should identify timeframes involved and the lead person responsible for the task. Please use the "Project Work Plan- Sample Template" format as a reference and resource, if desired. You can find this sample template in the Appendix section of this Funding Opportunity Announcement.

**The following application components are not considered part of the Project Narrative section and do not count against an applicant's 75-page limit for the project narrative.**

### **Table of Contents**

The table of contents shows where and how the important sections of your proposal are organized. While the application will be submitted electronically, the reviewers may use printed copies during the review process. The table of contents will assist reviewers in more efficiently and effectively evaluating your application.

### **Abstract**

The one-page abstract should be a comprehensive description of what the whole (all years) project is, not a description of the competency of the institution or project director. It is not an executive summary. It can be single or double-spaced.

### **Resumes/Vitae**

Vitae of staff or consultants should include information that is specifically pertinent to this proposed project. If collaboration with another organization is involved in the proposed activity, the application should include assurances of participation by the other parties, including written agreement or assurances of cooperation.

### **Budget Narrative/Justification**

This part requires an itemized budget breakdown for each project year and the basis for estimating the costs of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any other projected expenditures.

If applicable, address cost share in a separate section of the budget narrative labeled "cost share." Please provide an itemized budget breakdown for each project year. The Appendix section of this Funding Opportunity Announcement includes a sample format for your budget narrative/justification.

### **Letters of Commitment from Key Participating Organizations and Agencies**

Please include letters of commitment from Key Participating Organizations and Agencies after the Budget Narrative/Justification. Also, please submit an appendix that lists every collaborating organization and individual named in the application, including staff, consultants, contractors, and advisory board members. We will use this information to screen for conflicts of interest with reviewers.

## **3. Submission Dates and Times**

Due Date for Applications: **05/24/2016**

Date for Informational Conference Call: 04/15/2016

Pre-Application Meeting: A pre-application teleconference meeting will be held between 1:00 p.m. and 3:00 p.m. on the date listed above for the informational conference call. Interested parties are invited to participate in the pre-application meeting to discuss the funding priority and to receive information and technical assistance. You must contact [Carolyn.Baron@acl.hhs.gov](mailto:Carolyn.Baron@acl.hhs.gov) by April 14, 2016 in order to participate in this meeting. NIDILRR staff also will be available to provide information and technical assistance via individual phone consultations from 3:30 p.m. to 4:30 p.m. on April 15, 2016. Requests for individual consultations during this one-hour window must be made in advance to Carolyn Baron.

**Applications must be submitted electronically by 11:59 p.m. Eastern Time on the date listed immediately above for "Due Date for Applications."**

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or with <http://www.grants.gov>. Grants.gov can take up to 48 hours to notify you of a successful submission.

When you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR) and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: <http://www.grants.gov/web/grants/register.html>

After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only.)

If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline because of technical problems with the Grants.gov system, please contact the person listed under For Further Information Contact in section VII of this notice and provide a written explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. ACL will contact you after a determination is made on whether your application will be accepted.

**Note: We will not consider your application for further review if you failed to fully register to submit your application to Grants.gov before the application deadline or if the technical problem you experienced is unrelated to the Grants.gov system.**

Unsuccessful submissions will require authenticated verification from <http://www.grants.gov> indicating system problems existed at the time of your submission. You will be required to provide an <http://www.grants.gov> submission error notification and/or tracking number in order to substantiate missing the application deadline due to systematic grants.gov problems.

Grants.gov (<http://www.grants.gov>) will automatically send applicants a tracking number and date of receipt verification once the application has been successfully received and validated in <http://www.grants.gov>.

#### **4. Intergovernmental Review**

This funding opportunity announcement is not subject to the requirements of Executive Order 12372, "Intergovernmental Review of Federal Programs."

## 5. Funding Restrictions

**Note:** A recent Government Accountability Office (GAO) report has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. Executive Orders on Promoting Efficient Spending (E.O. 13589) and Delivering Efficient, Effective and Accountable Government (E.O. 13576) have been issued and instruct Federal agencies to promote efficient spending. Therefore, if meals are to be charged in your proposal, applicants should understand such costs must meet the following criteria outlined in the Executive Orders and HHS Grants Policy Statement:

- Meals are generally unallowable except for the following:
  - For subjects and patients under study (usually a research program);
  - Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);
  - When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;
  - As part of a per diem or subsistence allowance provided in conjunction with allowable travel; and
  - Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances. (Note: conference grant means the sole purpose of the award is to hold a conference)

## 6. Other Submission Requirements

### Protection of Human Subjects

Research activities involving human subjects by awards under these programs are subject to Regulations for the Protection of Human Subjects. You do not need an assurance or IRB approval as a condition of applying for this competition.

If you marked "Yes" for Item 3 on the Supplemental Information for SF 424, you must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, please indicate which project each set of responses addresses.

A. Exempt Research Narrative. If you marked "Yes" for item 3a. and designated exemption number(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination that the designated exemption(s) are appropriate. The narrative must be succinct. In addition, narratives are required for each participating partner if research is being conducted at other sites.

B. Nonexempt Research Narrative. If you marked "No" for item 3a., you must provide the "nonexempt research" narrative. The narrative must address the seven points. Although no specific page limitation applies to this section of the application, be succinct.

Human Subject Requirements for HHS grants. If your proposed project(s) involves research on human subjects, you must comply with the Department of Health and Human Services (DHHS) Regulations (Title 45 Code of Federal Regulations Part 46) regarding the protection of human research subjects, unless that research is exempt as specified in the regulation. All awardees and their performance sites engaged in research involving human subjects must have or obtain:

(1) an assurance of compliance with the Regulations, and (2) initial and continuing approval of the research by an appropriately constituted and registered institutional review board. In order to obtain a Federal wide Assurance (FWA) of Protection for Human Subjects, the applicant may complete an on-line application at

the Office for Human Research Protections (OHRP) website or write to the OHRP for an application. To obtain a FWA, contact OHRP at: <http://www.hhs.gov/ohrp>.

## V. Application Review Information

### 1. Criteria

Applications are scored by assigning a maximum of 100 points across the following criteria:

<b>A. Importance of the Problem</b>	<b>Maximum Points:15</b>
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- (1) The Director considers the importance of the problem.
- (2) In determining the importance of the problem, the Director considers the following factors:
  - (i) The extent to which the applicant clearly describes the need and target population.
  - (ii) The extent to which the proposed activities further the purposes of the Act.
  - (iii) The extent to which the proposed project will have beneficial impact on the target population

<b>B. Design of development activities</b>	<b>Maximum Points:40</b>
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- (1) The Director considers the extent to which the design of development activities is likely to be effective in accomplishing the objectives of the project.
- (2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Director considers the following factors:
  - (i) The extent to which the plan for development, clinical testing, and evaluation of new devices and technology is likely to yield significant products or techniques, including consideration of the extent to which--
    - (A) The proposed project will use the most effective and appropriate technology available in developing the new device or technique;
    - (B) The proposed development is based on a sound conceptual model that demonstrates an awareness of the state-of-the-art in technology;
    - (C) The new device or technique will be developed and tested in an appropriate environment;
    - (D) The new device or technique is likely to be cost-effective and useful;
    - (E) The new device or technique has the potential for commercial or private manufacture, marketing, and distribution of the product;
    - (F) The proposed development efforts include adequate quality controls and, as appropriate, repeated testing of products; and.
    - (G) The applicant identifies and justifies the stage(s) of development for the proposed project and activities associated with each stage.

<b>C. Design of dissemination activities</b>	<b>Maximum Points:10</b>
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The Director considers the extent to which the design of dissemination activities is likely to be effective in accomplishing the objectives of the project.

- (2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Director considers the following factors:
  - (i) The extent to which the materials to be disseminated are likely to be effective and usable, including consideration of their quality, clarity, variety, and format.

- (ii) The extent to which the materials and information to be disseminated and the methods for dissemination are appropriate to the target population, including consideration of the familiarity of the target population with the subject matter, format of the information, and subject matter.
- (iii) The extent to which the information to be disseminated will be accessible to individuals with disabilities.

#### D. Design of training activities

Maximum Points:5

The Director considers the extent to which the design of training activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Director considers the following factors:

- (i) The extent to which the proposed training materials are likely to be effective, including consideration of their quality, clarity, and variety.
- (ii) The extent to which the proposed training methods are of sufficient quality, intensity, and duration.
- (iii) The extent to which the proposed training materials and methods are accessible to individuals with disabilities.

#### E. Design of technical assistance activities

Maximum Points:5

The Director considers the extent to which the design of technical assistance activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Director considers the following factors:

- (i) The extent to which the methods for providing technical assistance are of sufficient quality, intensity, and duration.
- (ii) The extent to which the technical assistance is appropriate to the target population, including consideration of the knowledge level of the target population, needs of the target population, and format for providing information.
- (iii) The extent to which the technical assistance is accessible to individuals with disabilities.

#### F. Plan of evaluation

Maximum Points:5

The Director considers the quality of the plan of evaluation.

(2) In determining the quality of the plan of evaluation, the Director considers one or more of the following factors:

- (i) The extent to which the plan of evaluation provides for periodic assessment of progress towards--
  - (A) Implementing the plan of operation; and
  - (B) Achieving the project's intended outcomes and expected impacts.
- (ii) The extent to which the plan of evaluation will be used to improve the performance of the project through the feedback generated by its periodic assessments.
- (iii) The extent to which the plan of evaluation provides for periodic assessment of a project's progress that is based on identified performance measures that--
  - (A) Are clearly related to the intended outcomes of the project and expected impacts on the target populations; and
  - (B) Are objective, and quantifiable or qualitative, as appropriate.

#### G. Project staff

Maximum Points:10

- (1) The Director considers the quality of the project staff.
- (2) In determining the quality of the project staff, the Director considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.
- (3) In addition, the Director considers the extent to which the key personnel and other key staff have appropriate training and experience in disciplines required to conduct all proposed activities.

#### H. Adequacy and accessibility of resources

Maximum Points:10

- (1) The Director considers the adequacy and accessibility of the applicant's resources to implement the proposed project.
- (2) In determining the adequacy and accessibility of resources, the Director considers the following factors:
  - (i) The extent to which the applicant is committed to provide adequate facilities, equipment, other resources, including administrative support, and laboratories, if appropriate.
  - (ii) The extent to which the facilities, equipment, and other resources are appropriately accessible to individuals with disabilities who may use the facilities, equipment, and other resources of the project.

## 2. Review and Selection Process

As required by 2 CFR 200 of the Uniform Guidance, effective January 1, 2016, ACL is required to review and consider any information about the applicant that is in the Federal Awardee Performance and Integrity Information System (FAPIIS), <https://www.fapiis.gov> before making any award in excess of the simplified acquisition threshold (currently \$150,000) over the period of performance. An applicant may review and comment on any information about itself that a federal awarding agency has previously entered into FAPIIS. ACL will consider any comments by the applicant, in addition to other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR § 200.205 Federal Awarding Agency Review of Risk Posed by Applicants ([http://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200\\_1205&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1205&rgn=div8)).

Final award decisions will be made by the Administrator of ACL. In making these decisions, the Administrator's primary consideration will be the ranking of applications by the review panel. The Administrator may also consider the reasonableness of the estimated cost to the government considering the available funding and anticipated results and the likelihood that the proposed project will result in the benefits expected. Under 45 CFR part 75, Section 205, item (3) history of performance is an item that is also reviewed. In addition, in making a competitive grant award, the Administrator of ACL also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Health and Human Services 45 CFR part 75.

## 3. Anticipated Announcement Award Date

Successful applicants will receive an electronic Notice of Award no later than September 30, 2016. All applicants will receive feedback from the peer review process no later than September 30, 2016.

## **VI. Award Administration Information**

### **1. Award Notices**

If your application is successful, we send you a Notice of Award (NOA), or we may send you an email containing a link to access an electronic version of your NOA. If your application is not elected for funding or is not evaluated, we will notify you.

### **2. Administrative and National Policy Requirements**

The award is subject to DHHS Administrative Requirements, which can be found in 45CFR Part 75 and the Standard Terms and Conditions, included in the Notice of Award as well as implemented through the HHS Grants Policy Statement.

A standard term and condition of award will be included in the final notice of award; all applicants will be subject to a term and condition that applies to the terms of 48 CFR section 3.908 to the award, and requires the grantees inform their employee in writing of employee whistleblower rights and protections under 41 U.S.C. 4712 in the predominant native language of the workforce.

### **3. Reporting**

(a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 45 CFR part 75 should you receive funding under the competition. This does not apply if you have an exception under 45 CFR part 75.

(b) At the end of your project period, you must submit a final performance report, including financial information, as required in your award's terms and conditions. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as required under 45 CFR part 75.

All NIDILRR grantees will submit their annual and final reports through NIDILRR's online reporting system and as designated in the terms and conditions of your NOA.

### **4. FFATA and FSRs Reporting**

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System (<http://www.FSRs.gov>) for all sub-awards and sub-contracts issued for \$25,000 or more as well as addressing executive compensation for both grantee and sub-award organizations.

For further guidance please see the following

link: [http://www.acl.gov/Funding\\_Opportunities/Grantee\\_Info/FFATA.aspx](http://www.acl.gov/Funding_Opportunities/Grantee_Info/FFATA.aspx)

## **VII. Agency Contacts**

### **Project Officer**

Hugh Berry

Office: 202-795-7308

Email: [Hugh.Berry@acl.hhs.gov](mailto:Hugh.Berry@acl.hhs.gov)

## Grants Management Specialist

Marlene Spencer

Office: 202-795-7442

Email: [Marlene.Spencer@acl.hhs.gov](mailto:Marlene.Spencer@acl.hhs.gov)

### VIII. Other Information

#### 1. Application Elements

- a. SF 424, required – Application for Federal Assistance (See “Instructions for Completing Required Forms” for assistance).
- b. SF 424A, required – Budget Information. (See Attachment A for Instructions; See “Standard Form 424A – Sample Format” for an example of a completed SF 424A).
- c. Separate Budget Narrative/Justification, required (See “Budget Narrative/Justification - Sample Format” for examples and “Budget Narrative/Justification – Sample Template.”)

NOTE: Applicants requesting funding for multi-year grant projects are REQUIRED to provide a Narrative/Justification for each year of potential grant funding, as well as a combined multi-year detailed Budget Narrative/Justification.

- d. SF 424B – Assurance, required. Note: Be sure to complete this form according to instructions and have it signed and dated by the authorized representative (see item 18d on the SF 424).
- e. Lobbying Certification, required
- f. Proof of non-profit status, if applicable
- g. Copy of the applicant's most recent indirect cost agreement, if requesting indirect costs. If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.
- h. Project Narrative with Work Plan, required (See “Project Work Plan – Sample Template” for a formatting suggestions).
- i. Organizational Capability Statement and Vitae for Key Project Personnel.
- j. Letters of Commitment from Key Partners, if applicable.
- k. Abstract
- l. Supplemental Information Form for the SF-424

NOTE: NIDILRR does not require applicants to submit an organizational capability statement outside of their project narrative. NIDILRR assesses organizational capability via the peer review process, including application criteria to project staff, and the adequacy and accessibility of applicant resources.



## 2. The Paperwork Reduction Act of 1995 (P.L. 104-13)

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The project description and Budget Narrative/Justification is approved under OMB control number 0985-0018 which expires on 3/12/17. Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.

## Appendix

### Instructions for Completing Required Forms

This section provides step-by-step instructions for completing the four (4) standard Federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. ACL does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms.

#### a. Standard Form 424

1. **Type of Submission:** (REQUIRED): Select one type of submission in accordance with agency instructions.

- Preapplication
- Application
- Changed/Corrected Application – If ACL requests, check if this submission is to change or correct a previously submitted application.

2. **Type of Application:** (REQUIRED) Select one type of application in accordance with agency instructions.

- New
- Continuation
- Revision

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier:** Leave this field blank

5a **Federal Entity Identifier:** Leave this field blank

5b. **Federal Award Identifier:** For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award (grant) number.

6. **Date Received by State:** Leave this field blank.

7. **State Application Identifier:** Leave this field blank.

8. **Applicant Information:** Enter the following in accordance with agency instructions:

a. **Legal Name:** (REQUIRED): Enter the name that the organization has registered with the System for Award Management (SAM), formally the Central Contractor Registry. Information on registering with SAM

may be obtained by visiting the Grants.gov website (<http://www.grants.gov>) or by going directly to the SAM website ([www.sam.gov](http://www.sam.gov)).

**b. Employer/Taxpayer Number (EIN/TIN):** (REQUIRED): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. In addition, we encourage the organization to include the correct suffix used to identify your organization in order to properly align access to the Payment Management System.

**c. Organizational DUNS:** (REQUIRED) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website (<http://www.grants.gov>). Your DUNS number can be verified at <http://fedgov.dnb.com/webform/>.

**d. Address:** (REQUIRED) Enter the complete address including the county.

**e. Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the project.

**f. Name and contact information of person to be contacted on matters involving this application:** Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.

**9. Type of Applicant:** (REQUIRED) Select the applicant organization "type" from the following drop down list.

A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)

**10. Name Of Federal Agency:** (REQUIRED) Enter U.S. Administration for Community Living

**11. Catalog Of Federal Domestic Assistance Number/Title:** The CFDA number can be found on page one of the Program Announcement.

**12. Funding Opportunity Number/Title:** (REQUIRED) The Funding Opportunity Number and title of the opportunity can be found on page one of the Program Announcement.

**13. Competition Identification Number/Title:** Leave this field blank.

**14. Areas Affected By Project:** List the largest political entity affected (cities, counties, state etc).

**15. Descriptive Title of Applicant's Project:** (REQUIRED) Enter a brief descriptive title of the project (This is not a narrative description).

**16. Congressional Districts Of: (REQUIRED)** 16a. Enter the applicant's Congressional District, and 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12<sup>th</sup> district, NC-103 for North Carolina's 103rd district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. See the below website to find your congressional district:  
<http://www.house.gov/>

**17. Proposed Project Start and End Dates: (REQUIRED)** Enter the proposed start date and final end date of the project. **If you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date.** In general, all start dates on the SF424 should be the 1<sup>st</sup> of the month and the end date of the last day of the month of the final year, for example 7/01/2014 to 6/30/2017. The Grants Officer can alter the start and end date at their discretion.

**18. Estimated Funding: (REQUIRED)** If requesting multi-year funding, enter the full amount requested from the Federal Government in line item 18.a., as a multi-year total. For example and illustrative purposes only, if year one is \$100,000, year two is \$100,000, and year three is \$100,000, then the full amount of Federal funds requested would be reflected as \$300,000. The amount of matching funds is denoted by lines b. through f. with a combined Federal and non-Federal total entered on line g. Lines b. through f. represents contributions to the project by the applicant and by your partners during the total project period, broken down by each type of contributor. The value of in-kind contributions should be included on appropriate lines, as applicable.

**NOTE:** Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 75 before completing Item 18 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 18 should cover the total project period. For sub-item 18a, enter the Federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least 1/3<sup>rd</sup> of the amount of Federal funds being requested (the amount in 18a). For a full explanation of ACL's match requirements, see the information in the box below. For sub-item 18f (program income), enter only the amount, if any, that is going to be used as part of the required match. Program Income submitted as match will become a part of the award match and recipients will be held accountable to meet their share of project expenses even if program income is not generated during the award period.

There are two types of match: 1) non-Federal cash and 2) non-Federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered **matching funds**. Examples of **non-Federal cash match** includes budgetary funds provided from the applicant agency's budget for costs associated with the project. Generally, most contributions from sub-contractors or sub-grantees (third parties) will be non-Federal in-kind matching funds. Volunteered time and use of third party facilities to hold meetings or conduct project activities may be considered in-kind (third party) donations.

**NOTE: Indirect charges** may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements. **If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-grantees are requesting indirect costs, a copy of the latest approved indirect cost agreements must also be included with the application, or reference to an**

## approved cost allocation plan.

### ACL's Match Requirement:

Under many ACL programs, ACL will fund no more than 75 % of the projects total cost, which means the applicant must cover at least 25% of the projects total cost with non-Federal resources. In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the projects total cost (i.e., the amount on line 18g.). This three-to-one ratio is reflected in the following formula which you can use to calculate your minimum required match:

FederalFundsRequested\*MatchPercentage = Minimum Match Requirement

Inverse Match Percentage

Examples of varying match levels:

1) \$100,000(federalfundsrequested)\*5%(match) = \$5,263

95%

2) \$100,000\*25%(match) = \$33,333

75%

3) \$100,000\*35%(match) = \$53,846

65%

4) \$100,000\*45%(match) = \$81,818

55%

If the required non-Federal share is not provided by the completion date of the funded project period, ACL will reduce the Federal dollars awarded when closing out the award to meet the match percentage, which may result in a requirement to return Federal funds.

**19. Is Application Subject to Review by State Under Executive Order 12372 Process?** Please refer to IV. Application and Submission Information, 4. Intergovernmental Review to determine if the ACL program is subject to E.O. 12372 and respond accordingly.

**20. Is the Applicant Delinquent on any Federal Debt?** (Required) This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.

**21. Authorized Representative:** (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

## Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this ACL program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a multi-year budget. See Attachment B. **Section A Budget Summary**

## **Section A - Budget Summary**

**Line 5:** Leave columns (c) and (d) blank. Enter TOTAL Federal costs in column (e) and total nonFederal costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

## **Section B Budget Categories**

Column 1: Enter the breakdown of how you plan to use the Federal funds being requested by object class category (see instructions for each object class category in Attachment C).

Column 2: Enter the breakdown of how you plan to use the non-Federal share by object class category.

Column 5: Enter the total funds required for the project (sum of Columns 1 and 2) by object class category.

## **Section C – Non Federal Resources**

Column A: Enter the federal grant program.

Column B: Enter in any non-federal resources that the applicant will contribute to the project.

Column C: Enter in any non-federal resources that the state will contribute to the project.

Column D: Enter in any non-federal resources that other sources will contribute to the project.

Column E: Enter the total non-federal resources for each program listed in column A.

## **Section D –Forecasted Cash Needs**

**Line 13:** Enter Federal forecasted cash needs broken down by quarter for the first year only.

**Line 14:** Enter Non-Federal forecasted cash needs broken down by quarter for the first year.

Line 15: Enter total forecasted cash needs broken down by quarter for the first year.

Note: This area is not meant to be one whereby an applicant merely divides the requested funding by four and inserts that amount in each quarter but an area where thought is given as to how your estimated expenses will be incurred during each quarter. For example, if you have initial startup costs in the first quarter of your award reflect that in quarter one or you do not expect to have contracts awarded and funded until quarter three, reflect those costs in that quarter.

**Section E – Budget Estimates of Federal Funds Needed for Balance of the Project (i.e. subsequent years 2, 3, 4 or 5 as applicable).**

Column A: Enter the federal grant program

Column B (first): Enter the requested year two funding.

Column C (second): Enter the requested year three funding.

Column D (third): Enter the requested year four funding, if applicable.

Column E (forth): Enter the requested year five funding, if applicable.

**Section F – Other Budget Information**

**Line 21:** Enter the total Indirect Charges

**Line 22:** Enter the total Direct charges (calculation of indirect rate and direct charges).

**Line 23:** Enter any pertinent remarks related to the budget.

**Separate Budget Narrative/Justification Requirement**

**Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.**

For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: Federal; non-Federal cash; and non-Federal in-kind. Cost breakdowns, or justifications, are required for any cost of \$1,000 or for the thresholds as established in the examples. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-Federal cash as well as, sub-contractor or sub-grantee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification. The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

Line 6a: **Personnel:** Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included under 6h Other.

**In the Justification:** Identify the project director, if known. Specify the key staff, their titles, and time commitments in the budget justification.

Line 6b: **Fringe Benefits:** Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

**In the Justification:** If the total fringe benefit rate exceeds 35% of Personnel costs, provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35% or less does not require a break down but you must show the percentage charged for each full/part time employee.

Line 6c: **Travel:** Enter total costs of all travel (local and non-local) for staff on the project. NEW: Local travel is considered under this cost item not under Other. Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.

**In the Justification:** Include the total number of trips, number of travelers, destinations, purpose (e.g., attend conference), length of stay, subsistence allowances (per diem), and transportation costs (including mileage rates).

Line 6d: **Equipment:** Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. If the item does not meet the \$5,000 threshold, include it in your budget under Supplies, line 6e.

**In the Justification:** Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its subgrantees.

Line 6e: **Supplies:** Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

**In the Justification:** . For any grant award that has supply costs in excess of 5% of total direct costs (Federal or Non-Federal), you must provide a detailed break down of the supply items (e.g., 6% of \$100,000 = \$6,000 – breakdown of supplies needed). If the 5% is applied against \$1 million total direct costs (5% x \$1,000,000 = \$50,000) a detailed breakdown of supplies is not needed. Please note: any supply costs of \$5,000 or less regardless of total direct costs does not require a detailed budget breakdown (e.g., 5% x \$100,000 = \$5,000 – no breakdown needed).

Line 6f: **Contractual:** Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement

contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any awards to organizations for the provision of technical assistance. Do not include payments to individuals on this line. Please be advised: A subrecipient is involved in financial assistance activities by receiving a sub-award and a subcontractor is involved in procurement activities by receiving a sub-contract. Through the recipient, a subrecipient performs work to accomplish the public purpose authorized by law. Generally speaking, a sub-contractor does not seek to accomplish a public benefit and does not perform substantive work on the project. It is merely a vendor providing goods or services to directly benefit the recipient, for example procuring landscaping or janitorial services. In either case, you are encouraged to clearly describe the type of work that will be accomplished and type of relationship with the lower tiered entity whether it be labeled as a subaward or subcontract.

**In the Justification:** Provide the following three items – 1) Attach a list of contractors indicating the name of the organization; 2) the purpose of the contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The Federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at \$100K in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR Part 75 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

Line 6g: **Construction:** Leave blank since construction is not an allowable costs for this program.

Line 6h: **Other:** Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits), non-contractual fees and travel paid directly to individual consultants, postage, space and equipment rentals/lease, printing and publication, computer use, training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs.

Note: A recent Government Accountability Office (GAO) report number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. If meals are to be charged towards the grant they must meet the following criteria outlined in the Grants Policy Statement:

- *Meals are generally unallowable except for the following:*
- *For subjects and patients under study (usually a research program);*
- *Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);*
- *When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;*
- *As part of a per diem or subsistence allowance provided in conjunction with allowable travel; and*
- *Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances (Note: the sole purpose of the grant award is to hold a conference).*

**In the Justification:** Provide a reasonable explanation for items in this category. For example, individual consultants explain the nature of services provided and the relation to activities in the work plan or indicate where it is described in the work plan. Describe the types of activities for staff development costs.



Line 6i: **Total Direct Charges:** Show the totals of Lines 6a through 6h.

Line 6j: **Indirect Charges:** Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. **State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.** An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on the Federal share of your direct costs. Any unused portion of the grantee's eligible Indirect Cost amount that are not claimed on the Federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

Line 6k: **Total:** Enter the total amounts of Lines 6i and 6j.

Line 7: **Program Income:** As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

#### **c. Standard Form 424B – Assurances (required)**

This form contains assurances required of applicants under the discretionary funds programs administered by the Administration for Community Living. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

#### **d. Certification Regarding Lobbying (required)**

This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

#### **Proof of Non-Profit Status (as applicable)**

Non-profit applicants must submit proof of non-profit status. Any of the following constitutes acceptable proof of such status:

- A copy of a currently valid IRS tax exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

## Indirect Cost Agreement

Applicants that have included indirect costs in their budgets must include a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency. This is optional for applicants that have not included indirect costs in their budgets.

### Budget Narrative/Justification - Sample Format

NOTE: Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	\$47,700	\$23,554	\$0	\$71,254	<p><b>Federal</b> Project Director (name) = .5 FTE @ \$95,401/yr = \$47,700</p> <p><b>Non-Fed Cash</b> Officer Manager (name) = .5FTE @ \$47,108/yr = \$23,554</p> <p><b>Total</b> 71,254</p>
Fringe Benefits	\$17,482	\$8,632	\$0	\$26,114	<p><b>Federal</b> Fringe on Project Director at 36.65% = \$17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)</p> <p><b>Non-Fed Cash</b> Fringe on Office Manager at 36.65% = \$8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)</p>
Travel	\$4,707	\$2,940	\$0	\$7,647	<p><b>Federal</b> Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles \$2,457 Lodging: 15 days @ \$110/day \$1,650 Per Diem: 15 days @ \$40/day \$600</p> <p><b>Total</b></p>

					<p>\$4,707</p> <p><b>Non-Fed Cash</b></p> <p>Travel to National Conference in (Destination) for 3 people</p> <p>Airfare 1 RT x 3 staff @ \$500</p> <p>\$1,500</p> <p>Lodging: 3 days x 3 staff @ \$120/day \$1,080</p> <p>Per Diem: 3 days x 3 staff @ \$40/day \$360</p> <p>Total</p> <p>\$2,940</p>
Equipment	\$10,000	\$0	\$0	\$10,000	<p>No Equipment requested OR: Call Center Equipment Installation =</p> <p>\$5,000</p> <p>Phones =</p> <p>\$5,000</p> <p>Total</p> <p>\$10,000</p>
Supplies	\$3,700	\$5,670	\$0	\$9,460	<p><b>Federal</b></p> <p>2 desks @ \$1,500</p> <p>\$3,000</p> <p>2 chairs @ \$300</p> <p>\$600</p> <p>2 cabinets @ \$200</p> <p>\$400</p> <p><b>Non-Fed Cash</b></p> <p>2 Laptop computers</p> <p>\$3,000</p> <p>Printer cartridges @ \$50/month</p> <p>\$300</p> <p>Consumable supplies (pens, paper, clips etc...) @ \$180/month</p> <p>\$2,160</p> <p>Total</p> <p>\$9,460</p>
Contractual	\$30,171	\$0	\$0	\$30,171	<p>(organization name, purpose of contract and estimated dollar amount)</p> <p>Contract with AAA to provide respite services:</p> <p>11 care givers @ \$1,682 =</p> <p>\$18,502</p> <p>Volunteer Coordinator =</p> <p>\$11,669</p> <p>Total</p> <p>\$30,171</p>

					<i>If contract details are unknown due to contract yet to be made provide same information listed above and: A detailed evaluation plan and budget will be submitted by (date), when contract is made.</i>
Other	\$5,600	\$0	\$5,880	\$11,480	<b>Federal</b> 2 consultants @ \$100/hr for 24.5 hours each = \$4,900 Printing 10,000 Brochures @ \$.05 = \$500 Local conference registration fee (name conference) = \$200 Total \$5,600  <b>In-Kind Volunteers</b> 15 volunteers @ \$8/hr for 49 hours = \$5,880
Indirect Charges	\$20,934	\$0	\$0	\$20,934	21.5% of salaries and fringe = \$20,934  IDC rate is attached.
<b>TOTAL</b>	<b>\$140,294</b>	<b>\$40,866</b>	<b>\$5,880</b>	<b>\$187,060</b>	

### Budget Narrative/Justification - Sample Template

NOTE: Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					
Supplies					
Contractual					
Other					
Indirect Charges					
<b>TOTAL</b>					

### Project Work Plan - Sample Template

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a Project Work Plan for EACH potential year of grant funding requested.

Goal:

Measurable Outcome(s):

\* Time Frame (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
1.														
2.														
3.														
4.														
5.														
6.														

NOTE: Please do not infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

### Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, limit the length to 265 words or less, on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

**Goal(s)** – broad, overall purpose, usually in a mission statement, i.e. what you want to do, where you want to be.

**Objective(s)** – narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning process or sequence (the “how”) to attain the goal(s).

**Outcomes** - measurable results of a project. Positive benefits or negative changes, or measurable characteristics that occur as a result of an organization's or program's activities. (Outcomes are the end-point)

## **Products** – materials, deliverables.

- A model abstract/summary is provided below:

The Delaware Division of Services for Aging and Adults with Physical Disabilities (DSAAPD), in **partnership** with the Delaware Lifespan Respite Care Network (DLRCN) and key stakeholders will, in the course of this two-year project, expand and maintain a statewide coordinated lifespan respite system that builds on the infrastructure currently in place. The **goal** of this project is to improve the delivery and quality of respite services available to families across age and disability spectrums by expanding and coordinating existing respite systems in Delaware. The **objectives** are: 1) to improve lifespan respite infrastructure; 2) to improve the provision of information and awareness about respite service; 3) to streamline access to respite services through the Delaware ADRC; 4) to increase availability of respite services. Anticipated **outcomes** include: 1) families and caregivers of all ages and disabilities will have greater options for choosing a respite provider; 2) providers will demonstrate increased ability to provide specialized respite care; 3) families will have streamlined access to information and satisfaction with respite services; 4) respite care will be provided using a variety of existing funding sources and 5) a sustainability plan will be developed to support the project in the future. The expected **products** are marketing and outreach materials, caregiver training, respite worker training, a Respite Online searchable database, two new Caregiver Resource Centers (CRC), an annual Respite Summit, a respite voucher program and 24/7 telephone information and referral services.

## **Instructions for Completing the "Supplemental Information for the SF-424" Form**

### **1. Project Director.**

Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (\*) are mandatory.

### **2. Novice Applicant.** Select "Not Applicable To This Program."

**3a. Human Subjects Research.** Check "**No**" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable. Check "**Yes**" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "**Yes**" even if the research is exempt from the regulations for the protection of human subjects.

**3b. Human Subjects Research.** "**Yes**" if all the research activities proposed are designated to be exempt from the regulations. Check the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. "Exemptions." In addition, follow the instructions in II. A. "Exempt Research Narrative" below.

Check "**No**" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. "Nonexempt Research Narrative" in the attached page entitled "Definitions for U.S. Department of Education Supplemental Information for the SF-424."

**3b. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide Assurance (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. (**A list of current FWAs is available at: <http://ohrp.cit.nih.gov/search/search.aspx?styp=bsc>**) If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the SF-424, is declaring that it will proceed to obtain the human subjects assurance upon request by the designated NIDILRR official. If the application is recommended/selected for funding, the designated NIDILRR official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**3c. Human Subjects Narratives.** If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to your submission of the Supplemental Information for the SF-424 form as instructed in item II, "Instructions for Exempt and Nonexempt Human Subjects Research Narratives," below.

**Note about Institutional Review Board Approval.** NIDILRR does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated NIDILRR official will request that the applicant obtain and send the certification to NIDILRR within 30 days after the formal request. **No covered**

**human subjects research can be conducted until the study has NIDILRR clearance for protection of human subjects in research.**

**I. Definitions and Exemptions**

**A. Definitions.**

**—Research**

“a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

**—Human Subject**

“a living individual about whom an investigator (whether professional or student) conducting research information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) If an activity involves obtaining private information about a living person in such a way that the information can be ***directly or indirectly linked to*** that individual), the definition of human subject is met.

**B. Exemptions.**

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of ***exemptions*** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. ***If an educational practice is being introduced to the site and is not widely used for similar populations, it is not covered by this exemption.***

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. ***[This exemption applies only to retrospective studies using data collected before the initiation of the research.]***

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes

in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs. *[The standards of this exemption are rarely met because it was designed to apply only to specific research conducted by the Social Security Administration and some Federal welfare benefits programs.]*

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome food without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 3.b. of the Supplemental Information for the SF 424, the applicant must attach a human subjects “exempt research” or “nonexempt research” narrative to the Supplemental Information for the SF-424 form. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 3.b. and designated exemption numbers(s), attach the “exempt research” narrative to the Supplemental Information for the SF-424. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by NIDILRR that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 3.b. you must attach the “nonexempt research” narrative to the Supplemental Information for the SF-424. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) **Sources of Materials:** Identify the sources of research material obtained from individually living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to



the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s)**: If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.